

21.3. Closing Records for Serials That Have Ceased

When a serial has ceased publication the old record is "closed-off," i.e., certain elements are completed to show that the serial record is "dead." The extent to which each element is completed depends on the issues that are in hand and the information that is available. Possible situations are:

- Last issue is in hand
- Last issue is known, though not in hand
- Last issue is not known

Closing-Off AACR2 Records When a Serial Has Ceased

Element	Last issue in hand	Last issue known	Last issue not known	Discussion
008/06 Pub Status	d	d	d	Record is coded as dead in all cases
008/11-14 Ending date (from 362)	1963- <u>1983</u>	19uu- <u>1983</u>	19uu- <u>198u</u> or 19uu- <u>19uu</u> , etc.	Ending date = other than 9999 or uuuu
260 \$c Ending date of publication	\$c 1963- <u>1983</u>	Do not give	Do not give	Give 260 dates only when piece in hand
300 \$a Extent of item	Give if total vols. known	Give if total vols. known	Do not give	Give the number of bibliographic vols. when known
362 Ending designation	Use ind. "0" 362 0 1963-1983.	Use ind. "1" 362 1 Ceased with 1983.	Do not give	Give formatted 362 when piece in hand; unformatted note is given when date is known
246,310,5XX Ending date in notes (when beginning date present)	Complete, as appropriate 246 14 Research report \$f 1989-1991	Do not complete	Do not complete	This is not as critical and is optional
785 Succeeding entry	Give	Give	Give	Link to the newly created record using the catalog entry and control numbers for the new record
500 Latest issue consulted note	Remove, if present	Add or update if later issue held	Add or update if later issue held	This field is not included if the last issue is recorded in field 362, ind. "0"

21.3.1. AACR2 practice. The following fields may be affected. Modification of the first two listed below are considered mandatory. Addition of the 785 field is mandatory for title changes. Refer to the table above for explanation of the modification.

• Ending date of publication	Fixed field 008/11-14
• Publication status	Fixed field 008/06
• Date of publication	260 \$c
• Extent of item	300 \$a
• Last issue	362 0 or 1
• Dates in notes	246, 310, 5XX
• Latest issue consulted	500
• Succeeding entry	785

Fields from Closed-off AACR2 Record

```
DtSt:  d      Dates: 1980,1996
245 00 $a Dangerous properties of hazardous materials report.
260 ## $a New York : $b Van Nostrand Reinhold, $c 1980-1996.
300 ## $a 16 v. : $b ill. ; $c 28 cm.
362 0# $a Vol. 1, no. 1 (Sept./Oct. 1980)-v. 16, no. 4 (Mar./Apr. 1996).
785 00 $t Hazardous materials report
```

21.3.2. Pre-AACR2 practice. The modifications indicated above may also be made when a pre-AACR2 record is closed-off. Unformatted notes may be given in pre-AACR2 records according to current practice. Areas where pre-AACR2 rules vary from AACR2 practice are covered below. The example below includes several fields that were changed or added to close a pre-AACR2 record.

Fields from Closed-off Pre-AACR2 Record

```
DtSt:  d      Dates: 1980,1983
245 00 $a IC, Infection control.
260 ## $a [Thorofare, N.J., $b Charles B. Slack, inc.]
300 ## $a 4 v. $c 28 cm.
362 0# $a v. 1-4; 1980-83.
785 00 $t Infection control $x 0195-9417 $w (OCoLC)11000171 $w (DLC)
      84646104
```

Last issue. Pre-AACR2 records can be modified by adding notes (field 362, indicator 1) with the dates or numberings of first and/or last issues, as with current records.

```
362 1# $a Ceased with v. 25, no. 9 (Sept. 1989).
```

In formatted notes (field 362, indicator 0), designations are generally given in abbreviated form. Pre-*AACR2* practice also differs in that numbering and dates are separately grouped with punctuation as shown below. (See also *CCM* 22.4.5.)

```
362 0# $a v. 1-4; 1980-83.
```

Ending date of publication. The dates of publication were not generally given prior to *AACR2* if dates were included in the holdings area of the record (field 362). (See “Fields from Closed-off Pre-*AACR2* Record” example above.) If dates are recorded in field 260 the ending date of publication is generally given in an abbreviated form, if possible.

```
260 ## $a London, $b H.M. Stationery Off., $c 1901-40.
```

Extent of item. Pre-*AACR2* rules accommodated the recording of the extent of a printed work in the terminology suggested by the work (e.g., v., no., pt.). It also provided for the indication of the physical units in which the serial was published or bound by the publisher. In the case of serials that were complete in one volume, the pagination was recorded instead. CONSER considers this information optional.

```
300 ## $a 25 no. in 3 v. $b maps (part fold.) $c 25-33 cm.
```

Field 936. The 936 field is often modified when closing off pre-*AACR2* records. Under pre-*AACR2* CONSER practice, field 936 was used to record the latest issue consulted (on which the cataloging was based) or to note the fact that no issue was consulted. If the last issue is in hand when the record is closed-off and recorded in the 362 field, delete the 936 field, if present. If an earlier issue (or no issue) is consulted when closing the record other data may need to be recorded in the field. For details on Pre-*AACR2* use of the 936 field, refer to the *CEG*, Field 936, p. 4.

21.4. Pre-*AACR2* Record Modification

21.4.1. Updating pre-*AACR2* records. Pre-*AACR2* records are modified for the same reasons that *AACR2* records are modified: title changes, frequency changes, changes to main and added entries, etc. Some changes are recorded in the same manner as instructed in *AACR2* and following guidelines in other modules (see 21.2). Unformatted notes are generally added to pre-*AACR2* records following current conventions; other changes may be handled differently in pre-*AACR2* records and are explained below. If the change you need to record is not covered below, assume that the same practice is followed in both *AACR2* and pre-*AACR2* records. For changes needed to close-off pre-*AACR2* records refer to 21.3.2 above. For changes to pre-*AACR2* records that necessitate the conversion of the record to *AACR2*, see 21.4.2.

Choice of entry. Do not change the choice of entry on a pre-*AACR2* record. If a change occurs that makes the current choice invalid, convert the record to *AACR2*.

Form of headings. Existing headings may be modified on pre-*AACR2* records and new headings may be added to pre-*AACR2* records. Use the *AACR2* form whether the heading is new or modified. The authoritativeness of the headings should reflect the level of authentication of the record (field 042). Existing headings in pre-*AACR2* form are changed to their current form when the *AACR2* form is newly established in the name authority file. Only the heading that is newly established is changed in the record, often resulting in a mixture of *AACR2* and pre-*AACR2* headings. If a new heading is added, existing headings are not modified. (For more details, see also *LCRI* 26, 2b.)

```
110 1# $a Great Britain. $b Colonial Office.  
245 00 $a Colonial reports - annual.
```

[*AACR2* form of body with pre-*AACR2* title form]

Title variations and changes. Record a variant title on a pre-*AACR2* record by adding field 246 and/or a 500 field note. Refer to *CCM* 22.4.9f, “Variations in Title,” to determine if a title change should be considered a minor variation. (*CCM* 22.4.3, “Transcription of the Title,” describes how pre-*AACR2* titles were transcribed.) Note that a generic title recorded in a record created according to *ALA cataloging rules* may never have appeared on the serial as it is presented in the record. If a minor variation not constituting a title change appears on current issues, the variation can be recorded as the title proper in the 245. Alternatively, a “title varies slightly” note can be given instead of changing the 245 if the variation is insignificant. If the title proper is changed, the earlier title can be moved to a 246 if access is required. If unable to determine whether a title change would have been considered a minor variation according to earlier rules, create a record for the new title, link both records, and close-off the earlier record without converting it to *AACR2*.

Publication information. Current or latest place and publisher information is recorded in the 260 field since the pre-*AACR2* description is based on the latest issue. If there is a significant change in this information, the 260 field may be modified to record more recent data with a note added to retain the earlier information. “Important changes” were identified in the *AACR* rules to include the following situations:

- Change of publisher occurring after a long period
- Transfer of publication to another country or region

Other changes were also noted including important variations in commercial publishers’ names and bibliographically significant changes involving either the place or the (non-commercial) publisher.

```
260 ## $a Winter Park, Fla. $b Plus Communications, inc.  
362 0# $a v. 1-4; 1973-86.  
500 ## $a Imprint varies: Strang Communications Co., 1973-83.
```

Less significant changes were reflected in the 260 field with the addition of “[etc.]” For more detailed instructions on changes in publication information refer to *CCM* 22.4.6, “Imprint.”

Designations. For detailed information on earlier practices for recording “holdings information,” refer to *CCM* 22.4.5, “Holdings.” Pre-*AACR2* records can be modified by adding the dates or numberings of first issues using notes (362, indicator 1), as with current practice. Notes on numbering peculiarities can also be recorded in field 515 according to current conventions. For recording the ending designation of the publication see 21.3.2 above.

21.4.2. Converting pre-*AACR2* records to *AACR2*. CONSER has developed over the years a number of policies and procedures that address the conversion of serial records to *AACR2*. The following sections of the *CEG* pertain to record conversion:

Section B. Policies

- B4.2.4. Changes to pre-*AACR2* records
- B4.3. Changes in cataloging codes or RIs or subject analysis or CONSER practice
- B4.3.1. Pre-*AACR2* vs. *AACR2* rules of entry
- B4.3.2. Consolidating multiple pre-*AACR2* records into a single *AACR2* record

Section C. Procedures

- C9. Converting pre-*AACR2* records to *AACR2*
- C9.1. Restrictions and procedures
- C9.2. Successive entry records
- C9.3. Latest entry records

This section serves to illustrate policies and procedures published in the *CEG*.

General Principles. *CEG* section B1.9, “Record Maintenance,” simply states: “CONSER members are required to maintain CONSER records as they become aware of the need. (For details, see B4.)” *CEG* B4.3 also states that “**in general, an authenticated record should not be updated merely to reflect changes in cataloging codes or CONSER practice.**” *CEG* B4.2.4 clarifies that changes to records input according to an earlier cataloging code should generally be made in the context of the rules governing the record. If the cataloger cannot modify the record according to the earlier code, the record should be converted to *AACR2*. CONSER catalogers are free to convert pre-*AACR2* records according to the instructions and restrictions found below.

Requirements. In order to convert a record to *AACR2* cataloging, an issue must be available on

which to base the description. The *AACR2* record must then include a formatted 362 note (indicator 0) or a 500 “description based on” note.

Three situations require conversion to *AACR2*:

- 1) A publication in which changes occur that would lead to an additional pre-*AACR2* entry but would be covered on a single *AACR2* record.
- 2) A pre-*AACR2* bibliographic record for a monographic series whose title or author/title main entry does not match the form established in a series authority record (*CEG*, C9).
- 3) A serial title, used as an added entry on an *AACR2* record, is represented by a pre-*AACR2* record. (See *LCRI* 21.30G.)

The first requirement includes changes involving the main entry in a pre-*AACR2* record that would necessitate successive records according to earlier rules but not according to current *AACR2* practice. This typically happens when a publication entered under corporate body according to earlier rules would be entered under the title per *AACR2*.

Pre-*AACR2* Body Main Entry with Name Change → *AACR2* Title Main Entry

```
110 2 # $a Central Connecticut State College.
245 10 $a International relations.
```

[Name of college changes to Central Connecticut State University]

```
130 0# $a International relations (New Britain, Conn.)
245 10 $a International relations.
550 ## $a Vols. for <1968-> issued by: Central Connecticut
State College; <1987-> by: Central Connecticut
State University.
```

When a cataloger converts an LC-authenticated pre-*AACR2* record to *AACR2*, the 042 code of "lc" and the 010 control number are not changed. The cataloger, instead, adds the cataloging institution's symbol following "AACR2=" in field 936 to identify the source of the conversion. (See also *CEG* Section D, Field 936, Editing instructions, 5. Noting conversion to *AACR2*.)

As a rule, do not convert latest entry records. (See also *CEG* C9.3.) Use corresponding successive entry records and retain the latest entry record as an allowable duplicate in OCLC.

Conversion Procedures. *CEG* Section C9.2.1 establishes the following general procedures for

converting *AACR* successive entry records to *AACR2*.

- 1) Alter description based on earliest issue in hand, following *AACR2* and *LCRI*.
- 2) If a formatted 362 field (first indicator = 0) is present in a record, and the first issue is not in hand, incorporate the information into a note, and recode the first indicator to 1. Add a "Description based on" note in field 500.
- 3) Change other notes as appropriate (e.g., form of volume/date information, etc.).
- 4) Change form of entry in linking fields, when necessary, from key title to cataloging entry form.
- 5) Convert main and added entry headings, including series, to *AACR2* form.
- 6) Determine necessity for uniform title heading (130) or uniform title (240) as prescribed by *LCRI* 25.5B.
- 7) Add code "a" to DESC in fixed field.
- 8) Add required ISBD punctuation (e.g., fields 245, 260, 300).

Fields Converted from Pre-*AACR2* Cataloging

Pre-*AACR2* Record Before Conversion

```
Desc: #
010 ## $a 68-25183//r702 $z sn78-385
245 00 $a Playboy.
260 ## $a [Chicago, $b Playboy]
362 0# $a v. 1- [Dec. 1953-
936 ## $a Nov. 1979
```

Record After Conversion to *AACR2*

```
Desc: a
010      68-25183 $z sn78-385
130 0      Playboy (Chicago, Ill.)
245 10      Playboy.
260      Chicago, Ill. : $b HMH Pub. co., $c c1953-
362 0      Vol. 1, no. 1-
500      Title from cover.
500      Latest issue consulted: Vol. 41, no. 12 (Dec. 1994).
515      Vol. 1, no. 1 lacks chronological designation but constitutes Dec.
          1953.
```


Different Choice of Entry. When the choice of entry would be different under *AACR2* the cataloger must also determine whether the *AACR2* record should cover a different (usually expanded) period of time than the pre-*AACR2* record, and whether there are additional records that require consolidation or other modifications. If the span of years to be covered by the *AACR2* record is different, the following fields should be carefully checked for any needed changes:

- 1) Fixed field dates (008/7-14); publication status (008/6); country of publication code (008/15-17)
- 2) 260 \$c
- 3) 300 \$a
- 4) 310/321 (when dates are present)
- 5) 362
- 6) 5XX (for dates)
- 7) 550 (incorporate earlier or later issuing bodies, as necessary)
- 8) 7XX (make additional added entries, as necessary)
- 9) 760-787 (add, change, or delete, as necessary)

21.5. Record Consolidation and Separation

A CONSER record usually continues to serve its purpose even though the cataloging standards as they were applied to the serial have changed. According to *CEG* B4.3.3, it is generally not necessary to revise a record due solely to a change in the rules or rule interpretations. Record consolidation or separation should be completed only when there is a practical need or there are cataloging errors clearly involved, but not simply due to a change in cataloging practice.

Records may be consolidated or separated following the general instructions below and the procedures specified in *CEG* C8.2. Record consolidation must not result in the loss of cataloging information (*CEG* C8.1.1). *CEG* C8.1.2 also discusses record consolidation/separation processing restrictions and requirements, including the following instructions:

- Do not consolidate records authenticated by NLC or ISSN Canada
- Consult with NSDP before consolidating authenticated records with multiple ISSN for U.S. publications
- Notify LC (srdcat@loc.gov) when deleting authenticated records not retained in record consolidation

21.5.1. Consolidating records due to fluctuating titles or titles of short duration. *AACR2* 21.2C2bvii and the *LCRI* 21.2C provide for treating as a minor change “two or